

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION
UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)**BOX PCT****COMPLETION**
For PCT Cases Only

In re PATENT APPLICATION of

Inventor(s): HEERY et al.

Attn: Application Division

Appln. No.: 09 423,037
Series Code ↑ Serial No. ↑Atty. Dkt. PM 264015 PHM.70228/UST
M# Client Ref

National Phase Field

Based on PCT GB98 01238

↑ Country Code & Year

Title: INHIBITORS OF NUCLEAR PROTEIN/NUCLEAR RECEPTOR
INTERACTIONDate: February 22, 2000
Feb. 21 = Holiday**FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE**Asst. Commissioner of Patents
Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905) ☒ copy attached ☐ not yet received
2. ☒ **Signed Declaration** ☒ Original ☐ Facsimile/Copy ☐ with spec/claims attached
3. ☐ **Translation** of the International Application into English including:
 - a. ☐ Request;
 - b. ☐ Abstract
 - c. ___ pgs. Spec. and Claims;
 - d. ☐ Translation verification
 - e. ___ sheets Drawing which are: ☐ informal ☐ formal of size ☐ A4 ☐ 11"
4. ☐ Copy of **International Search Report (ISR)** attached (02/22/2000 PCT/US) (page(s))
 - a. ☐ plus Annex of family members (___ page(s))
5. **Information Disclosure Statement** including
 - a. ☐ From PTO-1449 listing documents
 - b. ☐ Copies of document(s) listed on Form PTO-1449
 - c. ☐ A concise explanation of ISR references is given in the ISR
6. ☒ **Assignment** and cover sheet. Please return the recorded assignment to the undersigned.
7. ☐ Copy of Power to international application agent.
8. ___ (No.) Small Entity Statement(s) establishing "small entity" status under Rules 9 & 27.
9. ☐ Formal Drawings: ___ sheet(s) ☐ informal; ☐ formal of size: ☐ A4 ☐ 11"
10. ☒ Please immediately start national examination procedures (35 USC 371(f))

00000006 09423037
54.00 OP
250.00 OP
130.00 OP
01 FC:966
02 FC:968
03 FC:154

11. ☐ Attached:

12. ☐ Preliminary Amendment:

13. ☒ Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:

14. Calculation of remaining fees due (if any): based on amended claim(s) per above item

☐ 12 (above) or item(s) in PAT-112 (filed previously) ☐ 12 ☐ 14 ☐ 17 ☐ 25

15. **CLAIMS FEES** ☐ previously paid ☐ paid herewith as follows:

15A. Small Entity Statement ☐ Herewith ☐ Previously Filed

				Large/Small Entity		Fee Code
16. Total Effective Claims	23	minus 20 =	3	x \$18/\$9	+54	966/967
17. Independent Claims	1	minus 3 =	0	x \$78/\$39	+0	964/965
18. If <u>any</u> proper multiple dependent claim (ignore improper) is present,				\$260/\$130	+260	968/969
19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input checked="" type="checkbox"/> now				\$130/\$65	+130	154/254
20. SUBTOTAL					\$444	
21. Original due date: February 21, 2000						
22. Petition is hereby made to extend the original due date to			(1 mo)	\$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee			(2mos)	\$380/\$190 =		116/216
is attached			(3mos)	\$870/\$435 =		117/217
			(4mos)	\$1360/\$680 =		118/218
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee				\$130	+0	139
24. If "assignment" box 6 is X'd, add recording fee.				\$40	+40	581
25. TOTAL FEE ENCLOSED =					\$484	

(Our Deposit Account No. 03-3975)

(Our Order No. 9901	264015
C#	

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (~~missing or insufficient fee only~~) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

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NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments

09/423036



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

0900185

U.S. APPLICATION NO. 09/423,036	FIRST NAMED APPLICANT HEERY	ATTY. DOCKET NO. FM 264015
INTERNATIONAL APPLICATION NO. PCT/GB98/01238		
I.A. FILING DATE 04/28/98		
PRIORITY DATE 04/30/97		
DATE MAILED 01/21/00		

PILLSBURY MADISON & SUTRO
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DUE

FEB 21 2000



NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

- ☐ a non-English language.
☒ English.

☐ Translation of the international application into English.

☐ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☒ Translation of Annexes to the International Preliminary Examination Report into English.

☐ Preliminary amendment(s) filed _____ and _____.

☒ Information Disclosure Statement(s) filed 29 OCT 99 and _____.

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed _____.

☐ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☒ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

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JP